



**DECLARATION AND POWER OF  
ATTORNEY FOR PATENT  
APPLICATION  
(37 CFR 1.63)**

☐ Declaration  
Submitted  
with Initial  
Filing

OR

☒ Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16(e))  
required)

Attorney Docket Number 5489P017

First Named Inventor Seok-Hyun Yun

**COMPLETE IF KNOWN**

Application Number 10/650,386

Filing Date August 27, 2003

Art Unit 2873

Examiner Name Unassigned

**As a below named inventor, I hereby declare that:**

My residence, mailing address, and citizenship are as stated below, next to my name.

I believe I am the original and first inventor (if only one name listed below) or an original and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**Method and Apparatus For An Acousto-Optic Filter That Generates A Helical Wave and Method For  
Manufacturing Same**

*(Title of the Invention)*

the specification of which

☐ is attached hereto.

OR

☒ was filed on (if applicable):

or 08/27/2003 as United States Application Number 10/650,386  
PCT International Application Number

and was amended on \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment specifically referred to above.

I do not know and do not believe that the claimed invention was ever known or used in the United States of America before my invention thereof, or patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application. I do not know and do not believe that the claimed invention was in public use or on sale in the United States of America more than one year prior to this application, nor do I know or believe that the invention has been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months (for a utility patent application) or six months (for a design patent application) prior to this application.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, or inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s):

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the U.S. Patent and Trademark Office connected herewith.

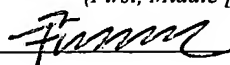
Direct all correspondence to: ☒ Customer Number **08791** or ☒ Correspondence address below

Name	Robert B. O'Rourke Blakely, Sokoloff, Taylor & Zafman LLP		
Address	12400 Wilshire Boulevard, 7th Floor		
City	Los Angeles	State	California
Zip Code	90025		
Country	USA	Telephone (408) 720-8300	Fax (408) 720-8383

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: Seok-Hyun Yun  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature  SEOK-HYUN YUN Date Dec 31, 2003

Residence Santa Clara, California USA Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 1514 Vista Club Circle, #202  
Santa Clara, California 95054 USA

**NAME OF SECOND INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: Hyo-Sang Kim  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Taejon, South Korea Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 99 Oeun-dong, Hanbit-Apt. #112-305 Yusong-gu  
Taejon, 305-755 South Korea

**NAME OF THIRD INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: In-Kag Hwang  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Taejon, South Korea Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 99 Oeun-dong, Hanbit-Apt #112-305 Yusong-gu  
Taejon, 305-755 South Korea

**NAME OF FOURTH INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: Wayne Victor Sorin  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Mountain View, California USA Citizenship Canada  
(City, State, Country) (Country)

Mailing Address 3579 Cambridge Lane  
Mountain View, California 94040 USA

**NAME OF FIFTH INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: Hee-Yeal Rhy  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence DaeJeon City, South Korea Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 239 Mannien-dong, Seo-gu  
DaeJeon City, 302-834 South Korea

## Title 37, Code of Federal Regulations, Section 1.56

### Duty to Disclose Information Material to Patentability.

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information, which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) Prior art cited in search reports of a foreign patent office in a counterpart application, and
  - (2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and
- (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or
  - (2) It refutes, or is inconsistent with, a position the applicant takes in:
    - (i) Opposing an argument of unpatentability relied on by the Office, or
    - (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

- (c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:
- (1) Each inventor named in the application;
  - (2) Each attorney or agent who prepares or prosecutes the application; and
  - (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.
- (d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.
- (e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

## Appendix A

I hereby appoint with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith, BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP, a firm including: William E. Alford, Reg. No. 37,764; Farzad E. Amini, Reg. No. 42,261; W. Thomas Babbitt, Reg. No. 39,591; Jordan M. Becker, Reg. No. 39,602; Michael A. Bernadicou, Reg. No. 35,934; Roger W. Blakely, Jr., Reg. No. 25,831; R. Alan Burnett, Reg. No. 46,149; Gregory D. Caldwell, Reg. No. 39,926; Cory G. Claassen, Reg. No. 50,296; Thomas M. Coester, Reg. No. 39,637; Mimi D. Dao, Reg. No. 45,628; Stephen M. De Klerk, Reg. No. 46,503; Daniel M. De Vos, Reg. No. 37,813; Sanjeet Dutta, Reg. No. 46,145; Tarek N. Fahmi, Reg. No. 41,402; Thomas S. Ferrill, Reg. No. 42,532; George L. Fountain, Reg. No. 36,374; Adam Furst, Reg. No. 51,710; Angelo J. Gaz, Reg. No. 45,907; Andre M. Gibbs, Reg. No. 47,593; James Y. Go, Reg. No. 40,621; Jason R. Graff, Reg. No. 54,134; Jeffery Scott Heilesen, Reg. No. 46,765; James A. Henry, Reg. No. 41,064; Willmore F. Holbrow III, Reg. No. 41,845; Sheryl Sue Holloway, Reg. No. 37,850; George W. Hoover II, Reg. No. 32,992; Eric S. Hyman, Reg. No. 30,139; Aslam A. Jaffery, Reg. No. 51,841; Walter T. Kim, Reg. No. 42,731; Eric T. King, Reg. No. 44,188; Steven Laut, Reg. No. 47,736; Suk S. Lee, Reg. No. 47,745; Gordon R. Lindeen III, Reg. No. 33,192; Jan Carol Little-Washington, Reg. No. 41,181; Joseph Lutz, Reg. No. 43,765; Michael J. Mallie, Reg. No. 36,591; Andre L. Marais, Reg. No. 48,095; Raul D. Martinez, Reg. No. 46,904; Paul A. Mendonsa, Reg. No. 42,879; Jonathan S. Miller, Reg. No. 48,534; Heather M. Molleur, Reg. No. 50,432; Richard A. Nakashima, Reg. No. 42,023; Thinh V. Nguyen, Reg. No. 42,034; Robert B. O'Rourke, Reg. No. 46,972; Daniel E. Ovanezian, Reg. No. 41,236; Philip A. Pedigo, Reg. No. 52,107; Marina G. Portnova, Reg. No. 45,750; Joseph A. Pugh, Reg. No. 52,137; Jon C. Reali, Reg. No. 54,391; James H. Salter, Reg. No. 35,668; William W. Schaal, Reg. No. 39,018; James C. Scheller, Reg. No. 31,195; Kevin G. Shao, Reg. No. 45,095; Stanley W. Sokoloff, Reg. No. 25,128; Judith A. Szepesi, Reg. No. 39,393; Edwin H. Taylor, Reg. No. 25,129; Lisa Tom, Reg. No. 52,291; John F. Travis, Reg. No. 43,203; Kerry D. Tweet, Reg. No. 45,959; Mark C. Van Ness, Reg. No. 39,865; Thomas A. Van Zandt, Reg. No. 43,219; Mark R. Vatuone, Reg. No. 53,719; Lester J. Vincent, Reg. No. 31,460; John P. Ward, Reg. No. 40,216; Mark L. Watson, Reg. No. 46,322; Thomas C. Webster, Reg. No. 46,154; Chui-Kiu Teresa Wong, Reg. No. 48,042; and Norman Zafman, Reg. No. 26,250, my patent attorneys, and Chze Koon Chua, 53,831; Brent Vecchia, Reg. No. 48,011 and Lehua Wang, Reg. No. 48,023, my patent agents, with offices located at 12400 Wilshire Boulevard, 7th Floor, Los Angeles, California 90025, telephone (310) 207-3800; and James R. Thein, Reg. No. 31,710, my patent attorney. with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.



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First Named Inventor Seok-Hyun Yun

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Art Unit 2873

Examiner Name Unassigned

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**Prior Foreign Application(s):**

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the U.S. Patent and Trademark Office connected herewith.

Direct all correspondence to: ☒ Customer Number **08791** or ☒ Correspondence address below

Name	Robert B. O'Rourke Blakely, Sokoloff, Taylor & Zafman LLP		
Address	12400 Wilshire Boulevard, 7th Floor		
City	Los Angeles	State	California
		Zip Code	90025
Country	USA	Telephone	(408) 720-8300
		Fax	(408) 720-8383

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:** ☐ A petition has been filed for this undersigned inventor

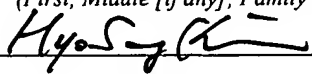
Full Name: Seok-Hyun Yun  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Santa Clara, California USA Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 1514 Vista Club Circle, #202  
Santa Clara, California 95054 USA

NAME OF SECOND INVENTOR: ☐ A petition has been filed for this undersigned inventor

Full Name: Hyo-Sang Kim  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])  
Inventor's Signature  Date DEC. 31, 2003  
Residence Taejon, South Korea Citizenship Korea  
(City, State, Country) (Country)  
Mailing Address 99 Oeun-dong, Hanbit-Apt. #112-305 Yusong-gu  
Taejon, 305-755 South Korea

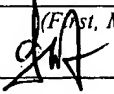
NAME OF THIRD INVENTOR: ☐ A petition has been filed for this undersigned inventor

Full Name: In-Kag Hwang  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])  
Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence Taejon, South Korea Citizenship Korea  
(City, State, Country) (Country)  
Mailing Address 99 Oeun-dong, Hanbit-Apt #112-305 Yusong-gu  
Taejon, 305-755 South Korea

NAME OF FOURTH INVENTOR: ☐ A petition has been filed for this undersigned inventor

Full Name: Wayne Victor Sorin  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])  
Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence Mountain View, California USA Citizenship Canada  
(City, State, Country) (Country)  
Mailing Address 3579 Cambridge Lane  
Mountain View, California 94040 USA

NAME OF FIFTH INVENTOR: ☐ A petition has been filed for this undersigned inventor

Full Name: Hee-Yeal Rhy  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])  
Inventor's Signature  Date Dec. 31, 2003  
Residence DaeJeon City, South Korea Citizenship Korea  
(City, State, Country) (Country)  
Mailing Address 239 Mannien-dong, Seo-gu  
DaeJeon City, 302-834 South Korea



## Title 37, Code of Federal Regulations, Section 1.56

### Duty to Disclose Information Material to Patentability.

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(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application;

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

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(e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

## Appendix A

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<b>DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION (37 CFR 1.63)</b>  <input type="checkbox"/> Declaration Submitted with Initial Filing      OR <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e)) required)	Attorney Docket Number	5489P017
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	<b>COMPLETE IF KNOWN</b>	
	Application Number	10/650,386
	Filing Date	August 27, 2003
	Art Unit	2873
Examiner Name	Unassigned	

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below, next to my name.

I believe I am the original and first inventor (if only one name listed below) or an original and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

<p align="center"><b>Method and Apparatus For An Acousto-Optic Filter That Generates A Helical Wave and Method For Manufacturing Same</b></p>
---

*(Title of the Invention)*

the specification of which

☐ is attached hereto.

OR

☒ was filed on (if applicable):

or 08/27/2003 as United States Application Number 10/650,386  
PCT International Application Number \_\_\_\_\_  
and was amended on \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment specifically referred to above.

I do not know and do not believe that the claimed invention was ever known or used in the United States of America before my invention thereof, or patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application. I do not know and do not believe that the claimed invention was in public use or on sale in the United States of America more than one year prior to this application, nor do I know or believe that the invention has been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months (for a utility patent application) or six months (for a design patent application) prior to this application.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, or inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s):

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the U.S. Patent and Trademark Office connected herewith.

Direct all correspondence to: ☒ Customer Number **08791** or ☒ Correspondence address below

Name	Robert B. O'Rourke Blakely, Sokoloff, Taylor & Zafman LLP		
Address	12400 Wilshire Boulevard, 7th Floor		
City	Los Angeles	State	California
Zip Code	90025		
Country	USA	Telephone	(408) 720-8300
Fax	(408) 720-8383		

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: Seok-Hyun Yun  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Santa Clara, California USA Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 1514 Vista Club Circle, #202  
Santa Clara, California 95054 USA

**NAME OF SECOND INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: Hyo-Sang Kim  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Taejon, South Korea Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 99 Oeun-dong, Hanbit-Apt. #112-305 Yusong-gu  
Taejon, 305-755 South Korea

**NAME OF THIRD INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: In-Kag Hwang  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature  Date 12/17/03

Residence Taejon, South Korea Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 99 Oeun-dong, Hanbit-Apt #112-305 Yusong-gu  
Taejon, 305-755 South Korea

**NAME OF FOURTH INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: Wayne Victor Sorin  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Mountain View, California USA Citizenship Canada  
(City, State, Country) (Country)

Mailing Address 3579 Cambridge Lane  
Mountain View, California 94040 USA

**NAME OF FIFTH INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: Hee-Yeal Rhy  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence DaeJeon City, South Korea Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 239 Mannien-dong, Seo-gu  
DaeJeon City, 302-834 South Korea

## Title 37, Code of Federal Regulations, Section 1.56 Duty to Disclose Information Material to Patentability.

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information, which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) Prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application;

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

(e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

## Appendix A

I hereby appoint with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith, BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP, a firm including: William E. Alford, Reg. No. 37,764; Farzad E. Amini, Reg. No. 42,261; W. Thomas Babbitt, Reg. No. 39,591; Jordan M. Becker, Reg. No. 39,602; Michael A. Bernadicou, Reg. No. 35,934; Roger W. Blakely, Jr., Reg. No. 25,831; R. Alan Burnett, Reg. No. 46,149; Gregory D. Caldwell, Reg. No. 39,926; Cory G. Claassen, Reg. No. 50,296; Thomas M. Coester, Reg. No. 39,637; Mimi D. Dao, Reg. No. 45,628; Stephen M. De Klerk, Reg. No. 46,503; Daniel M. De Vos, Reg. No. 37,813; Sanjeet Dutta, Reg. No. 46,145; Tarek N. Fahmi, Reg. No. 41,402; Thomas S. Ferrill, Reg. No. 42,532; George L. Fountain, Reg. No. 36,374; Adam Furst, Reg. No. 51,710; Angelo J. Gaz, Reg. No. 45,907; Andre M. Gibbs, Reg. No. 47,593; James Y. Go, Reg. No. 40,621; Jason R. Graff, Reg. No. 54,134; Jeffery Scott Heilesen, Reg. No. 46,765; James A. Henry, Reg. No. 41,064; Willmore F. Holbrow III, Reg. No. 41,845; Sheryl Sue Holloway, Reg. No. 37,850; George W. Hoover II, Reg. No. 32,992; Eric S. Hyman, Reg. No. 30,139; Aslam A. Jaffery, Reg. No. 51,841; Walter T. Kim, Reg. No. 42,731; Eric T. King, Reg. No. 44,188; Steven Laut, Reg. No. 47,736; Suk S. Lee, Reg. No. 47,745; Gordon R. Lindeen III, Reg. No. 33,192; Jan Carol Little-Washington, Reg. No. 41,181; Joseph Lutz, Reg. No. 43,765; Michael J. Mallie, Reg. No. 36,591; Andre L. Marais, Reg. No. 48,095; Raul D. Martinez, Reg. No. 46,904; Paul A. Mendonsa, Reg. No. 42,879; Jonathan S. Miller, Reg. No. 48,534; Heather M. Molleur, Reg. No. 50,432; Richard A. Nakashima, Reg. No. 42,023; Thinh V. Nguyen, Reg. No. 42,034; Robert B. O'Rourke, Reg. No. 46,972; Daniel E. Ovanezian, Reg. No. 41,236; Philip A. Pedigo, Reg. No. 52,107; Marina G. Portnova, Reg. No. 45,750; Joseph A. Pugh, Reg. No. 52,137; Jon C. Reali, Reg. No. 54,391; James H. Salter, Reg. No. 35,668; William W. Schaal, Reg. No. 39,018; James C. Scheller, Reg. No. 31,195; Kevin G. Shao, Reg. No. 45,095; Stanley W. Sokoloff, Reg. No. 25,128; Judith A. Szepesi, Reg. No. 39,393; Edwin H. Taylor, Reg. No. 25,129; Lisa Tom, Reg. No. 52,291; John F. Travis, Reg. No. 43,203; Kerry D. Tweet, Reg. No. 45,959; Mark C. Van Ness, Reg. No. 39,865; Thomas A. Van Zandt, Reg. No. 43,219; Mark R. Vatuone, Reg. No. 53,719; Lester J. Vincent, Reg. No. 31,460; John P. Ward, Reg. No. 40,216; Mark L. Watson, Reg. No. 46,322; Thomas C. Webster, Reg. No. 46,154; Chui-Kiu Teresa Wong, Reg. No. 48,042; and Norman Zafman, Reg. No. 26,250, my patent attorneys, and Chze Koon Chua, 53,831; Brent Vecchia, Reg. No. 48,011 and Lehua Wang, Reg. No. 48,023, my patent agents, with offices located at 12400 Wilshire Boulevard, 7th Floor, Los Angeles, California 90025, telephone (310) 207-3800; and James R. Thein, Reg. No. 31,710, my patent attorney. with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.



**DECLARATION AND POWER OF  
ATTORNEY FOR PATENT  
APPLICATION  
(37 CFR 1.63)**

☐ Declaration  
Submitted  
with Initial  
Filing

OR

☒ Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16(e))  
required)

Attorney Docket Number 5489P017

First Named Inventor Seok-Hyun Yun

**COMPLETE IF KNOWN**

Application Number 10/650,386

Filing Date August 27, 2003

Art Unit 2873

Examiner Name Unassigned

**As a below named inventor, I hereby declare that:**

My residence, mailing address, and citizenship are as stated below, next to my name.

I believe I am the original and first inventor (if only one name listed below) or an original and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**Method and Apparatus For An Acousto-Optic Filter That Generates A Helical Wave and Method For  
Manufacturing Same**

*(Title of the Invention)*

the specification of which

☐ is attached hereto.

OR

☒ was filed on (if applicable):

or 08/27/2003 as United States Application Number 10/650,386

PCT International Application Number \_\_\_\_\_  
and was amended on \_\_\_\_\_ (if applicable)

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I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, or inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

**Prior Foreign Application(s):**

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No

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Direct all correspondence to: ☒ Customer Number **08791** or ☒ Correspondence address below

Name	Robert B. O'Rourke Blakely, Sokoloff, Taylor & Zafman LLP		
Address	12400 Wilshire Boulevard, 7th Floor		
City	Los Angeles	State	California
		Zip Code	90025
Country	USA	Telephone (408) 720-8300	Fax (408) 720-8383

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**NAME OF SOLE OR FIRST INVENTOR:** ☐ A petition has been filed for this undersigned inventor

Full Name: Seok-Hyun Yun  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Santa Clara, California USA Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 1514 Vista Club Circle, #202  
Santa Clara, California 95054 USA

NAME OF SECOND INVENTOR: ☐ A petition has been filed for this undersigned inventor

Full Name: Hyo-Sang Kim  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Taejon, South Korea Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 99 Oeun-dong, Hanbit-Apt. #112-305 Yusong-gu  
Taejon, 305-755 South Korea

NAME OF THIRD INVENTOR: ☐ A petition has been filed for this undersigned inventor

Full Name: In-Kag Hwang  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence Taejon, South Korea Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 99 Oeun-dong, Hanbit-Apt #112-305 Yusong-gu  
Taejon, 305-755 South Korea

NAME OF FOURTH INVENTOR: ☐ A petition has been filed for this undersigned inventor

Full Name: Wayne Victor Sorin  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature Wayne Victor Sorin Date DEC 11 2003

Residence Mountain View, California USA Citizenship Canada  
(City, State, Country) (Country)

Mailing Address 3579 Cambridge Lane  
Mountain View, California 94040 USA

NAME OF FIFTH INVENTOR: ☐ A petition has been filed for this undersigned inventor

Full Name: Hee-Yeal Rhy  
(First, Middle [if any], Family Name (or Surname), and Suffix [if any])

Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence DaeJeon City, South Korea Citizenship Korea  
(City, State, Country) (Country)

Mailing Address 239 Mannien-dong, Seo-gu  
DaeJeon City, 302-834 South Korea

## Title 37, Code of Federal Regulations, Section 1.56

### Duty to Disclose Information Material to Patentability.

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(1) Each inventor named in the application;

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(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

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(e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

## Appendix A

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No.	10/650,386
Filing Date	August 27, 2003
First Named Inventor	Seok-Hyun Yun
Art Unit	2873
Examiner Name	Unassigned
Attorney Docket Number	5489P017
Total Number of Pages in This Submission	27

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	<div>Copy of the Notice to File Missing Parts (2) pages. Return Postcard</div>
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> PTO/SB/08		
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Basic Filing Fee		
<input checked="" type="checkbox"/> Declaration/POA		
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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Robert B. O'Rourke, Reg. No. 46,972 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	1/20/04

## CERTIFICATE OF MAILING/TRANSMISSION

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